



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

REGION IX

75 Hawthorne Street  
San Francisco, CA 94105-3901

April 23, 2007

Todd Honyaoma, Sr., Vice-Chairman  
Hopi Tribe of Arizona  
P.O. Box 123  
Kykotsmovi, Arizona 86039

RE: Drinking Water System Improvement Project, Villages of Moenkopi  
Grant No. FS-98969501 (Budget/Project Period: October 1, 2000 to November 30, 2009)

Dear Vice-Chairman Honyaoma:

Since 2000, the U.S. Environmental Protection Agency (USEPA), Region 9, has worked closely with the Hopi Tribe, the Village Leaders, and other stakeholders to improve water supply conditions for the Villages of Moenkopi under a USEPA drinking water tribal infrastructure grant. Currently, there is a \$2 million funding shortfall for the project. Since 2005, we have asked the Hopi Tribe to identify and seek additional funding in order for the project to continue. To date, the project has not progressed and remains in the planning and development phase. We believe that unless the added funding is identified and confirmed by December 31, 2007, USEPA will need to take the appropriate steps to terminate the grant and the project in its entirety.

Project Background

On September 29, 2000, USEPA, Region 9, awarded a \$1.259 million drinking water tribal infrastructure grant to the Hopi Tribe for improvements to the existing drinking water systems for the Villages of Moenkopi (Upper and Lower Villages). The purposes of the improvement project are to address identified water quality issues associated with the drinking water systems and to meet the growing water demands of the Villages. The improvement project will develop a new water supply well; construct a reverse osmosis treatment system and associated waste ponds; upgrade, where feasible, the water distribution systems at both Villages; and tie in the new well to the Upper Village water system.

An environmental assessment was prepared in June 2001 for the original project, which was to develop a new water supply well, upgrade the distribution system of both Upper and Lower Villages, and tie in the new well to both Villages' water systems. Since 2001, a new well has been drilled. The quantity of water in the new well is sufficient to meet the present and future demands of both Villages. However, the water exceeds secondary drinking water standards for total dissolved solids, iron, manganese, chloride, and sulfate. Because of this, the water from the new well needs to be treated. The treatment option selected for the new well is reverse osmosis. Because the original work plan for the project did not anticipate the substantial increase in cost and time associated with the need for water treatment, there is now an approximately \$2 million budget shortfall for the project.

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MAY 29 2007  
GMO, MTS-7

### Next Steps

Over the last year, the Hopi Tribe has been actively pursuing other funding sources for the project, having just recently (in February 2007) submitted a pre-application for an Economic Development Administration grant. The Hopi Tribe also hopes to pursue additional funding from the U.S. Department of Housing and Urban Development. However, unless a source for the funding shortfall is confirmed soon, the improvement project will not be able to be completed by the November 30, 2009 end date of the drinking water tribal infrastructure grant.

We ask that the additional funds to complete the project be identified and confirmed by December 31, 2007 since construction for the full scope of the project is expected to take about three years to complete. Unless the additional funds can be procured, we remain concerned that the project will not be completed before the grant expires. Under the terms and conditions of the grant, the grant may be terminated if any portion of the approved schedule for the project is not met.

We have appreciated the hard work and dedication of the Hopi Tribe and the Villages in working to overcome the many environmental, cultural and administrative issues that have been raised over the course of the water system improvement project. I am hopeful the Hopi Tribe will be able to identify and confirm money to address the budget shortfall. Should you have any questions or would like to discuss this matter further, please call me at (415) 972-3572 or Corine Li, Manager of the Region 9 Drinking Water Office at (415) 972-3560.

Sincerely,



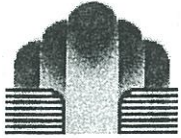
Alexis Strauss  
Director, Water Division

23 April 2007

cc: Wayne Kuwanhyoima, Governor, Upper Village  
Charlene Naha, CSA, Upper Village  
Donald Bilagody, Chairperson, Lower Village Board of Directors  
Harris Polelonema, CSA, Lower Village  
Arnold Taylor, Natural Resources Department, Hopi Tribe  
Nat Nutongla, Water Resources Program, Hopi Tribe  
Sharon Masek Lopez, Water Resources Program, Hopi Tribe  
Gayl Honanie, Environmental Protection Office, Hopi Tribe  
Wendell Honanie, Bureau of Indian Affairs, Hopi Agency  
Robert Lorenz, Indian Health Service  
Erika Schoen, Indian Health Service  
Elizabeth Stahl, Grants Management Office, USEPA, Region 9  
Corine Li, Manager, Drinking Water Office, USEPA, Region 9  
John Hamilton, Drinking Water Office, USEPA, Region 9  
Bessie Lee, Drinking Water Office, USEPA, Region 9

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MAY 8 2007  
F-87M, OMO





Elizabeth  
Stahl/R9/USEPA/US  
02/12/2007 01:52 PM

To Wendell Smith/R9/USEPA/US@EPA, Bessie  
Lee/R9/USEPA/US@EPA, Pamela  
Overman/R9/USEPA/US@EPA, Ladonna  
cc

bcc Carolyn Truong/R9/USEPA/US@EPA  
Subject Record of 2/12/07 Hopi Tribe Conference Call

For your records: my notes sent to EPA staff only

Record of Conference Call:  
Feb. 12, 2007- 2:30 pm)

Attendance:

The Hopi Tribe  
- Arnold Taylor, Manager, Environmental Office  
- Nat Nutongla  
- Gayl Honanie  
- Rose Polivema  
- Uberta Mowa  
- Yvonne Day (?)  
- Sherilyn Honanie - Finance Office

EPA: Wendell Smith, Bessie Lee and Elizabeth Stahl

We discussed the status- of items from Jan. 22 Conference Call:

1) Tribe has submitted all Financial Status Reports (FSR) and MBE/WBE reports on 12 current grants to EPA Grants Office. (expired grant is up to date on financial & MBE/WBE report)

- Tribe's Finance Office to follow-up on Performance Partnership Grant #BG-97961406 FSR because it does not show correct EPA funding amount - Sherilyn will send to Elizabeth Stahl a revised copy and a one-page budget vs. actual report on this grant as of 9/30/06. (all budget vs. actual expenditure reports will be done this week by Sherilyn and given to Tribe's Environmental staff)

- Tribe's Finance Office will follow-up on FSR for Pesticide grant #E-98936306 which has a grant condition indicating they must submit additional draw-down information on each FSR. Sheyilyn will forward to E. Stahl.

2) Tribe is still to submit the following:

- Revised Workplan for Grant #CA-97973201 (chemical emergency) Gayl Honanie will follow-up with Roger Tungovia to find out when the workplan will be submitted to Angie Proboszc.

- Quarterly reports and revised workplan on Moenkopi Grant FS#98969501 will be submitted to Bessie Lee by Nat Nutongla by 2/17. Revised workplan for the Shungopavi Grant #FS-9896401 will also be submitted by Nat -- no date as of today.

- Two quarterly reports for the Underground Storage Tank and Leaking Underground Storage Tank (UST & LUST) grants #L-979490040 and LS-979489030 are being finalized and should be done by Kendrick by 2/14. Gayl will follow-up with him to make sure the deliverables are also being done and sent to LaDonna Thomas by that date.

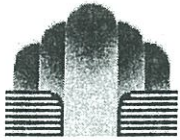
- Expired GAP grant #GA-97933501 - all reports are out to Pam Overman but Gayl is following up on two deliverables and should forward them to Pam by 2/14 or by end of this week.

3) Per Sherilyn in Finance Office, the Tribe is planning to draw down funds monthly on EPA grants.  
(E. Stahl mentioned that they should also be spending the cost share/match funds)

4) Next Conference Call will be on Monday, April 16 at 1:30 pm EPA and Hopi time.

Elizabeth Stahl  
EPA Grants Management Office  
San Francisco, CA  
415-972-3662





Elizabeth  
Stahl/R9/USEPA/US  
01/12/2007 03:38 PM

To Wendell Smith/R9/USEPA/US@EPA  
cc Angie Proboszcz/R9/USEPA/US@EPA, Bessie  
Lee/R9/USEPA/US@EPA, Ladonna  
Thomas/R9/USEPA/US@EPA, Marcy  
bcc

Subject Jan. 22 -Hopi Conference Call

Dear EPA Project Officers:

We are scheduled to hold our conference call with the Hopi Tribe's Vice Chairman on Monday, Jan. 22 at 9-10 am in ROOM 1408 (next to Jane Diamond's office). I will put together a chart of the Hopi Tribe's current and expired grants. See our EPA information below.

Please prepare any items on your specific grants. **WHO is asking the applicable Tribal folks to attend?**

Below is my summary of our Dec. 27 EPA meeting with Wendell Smith, Pam Overman, Bessie Lee, Marcy Katzin, and Elizabeth Stahl. **Items discussed:**

1. The Tribe appears to have many overdue environmental progress reports. What are the Tribe's procedures for submitting environmental progress reports to EPA Project Officers? Does the Tribe's Finance Office have to review and/or approve the reports before they are sent to EPA?
2. EPA should ask the Tribe's Finance, not the Tribe's Program offices, for status of grant expenditures. There appears to be a discrepancy between what the Tribe's Program Offices believe to be actual grant expenditures and what the Tribe's Finance Office indicates are the actual expenditures. Is the Tribe's Finance Office preparing monthly budget vs. actual expenditure reports on each grant? And are those reports available and sent to the Tribe's Program staff & managers?
3. Draw downs on the Tribal grants have been infrequent throughout the years. Is it feasible for the Tribe to request payments on their grants (drawdowns) more frequently? Are quarterly or monthly draws feasible?
4. It appears that some drawdowns are being performed without any work performed or any progress reports submitted to the EPA Project Officer. What are the Tribe's procedure for drawing down funds on EPA grants?
5. It appears that some of the Tribe's program offices/staff are not getting copies of the grant awards and grant amendments. What are the Tribe's procedures for alerting staff that they have received a new grant or a grant extension?
6. What is the status of the Tribe's hiring of staff for all the EPA grants? (Most of the EPA grants are behind in the progress of deliverables of the workplans and spending of the funds -- as indicated in the Tribe's grant applications.)
7. What can EPA do to better help the Tribe manage their grants?
  - for example, workplan format/progress report format,
  - approving longer time periods for grants, etc.
8. How often should we have these conference calls and who should be on them? We think the Vice Chairman, Arnold Taylor, Nat Nutongla, Gayl Honanie, Winifred Secakuku-Serawop, and any others from the Program Offices and Finance Offices involved with work on the grants should be there with the EPA project officers & grants office.

\*\*\*\*

Elizabeth Stahl  
EPA Grants Management Office  
2-3662





UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

REGION IX

75 Hawthorne Street  
San Francisco, CA 94105-3901

April 23, 2007

Todd Honyaoma, Sr., Vice-Chairman  
Hopi Tribe of Arizona  
P.O. Box 123  
Kykotsmovi, Arizona 86039

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APR 25 2007

GMO, MTS-7  
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### Next Steps

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Sincerely,

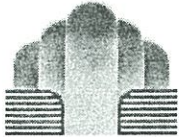


Alexis Strauss  
Director, Water Division

*22 April 2007*

cc: Wayne Kuwanhyoima, Governor, Upper Village  
Charlene Naha, CSA, Upper Village  
Donald Bilagody, Chairperson, Lower Village Board of Directors  
Harris Polelonema, CSA, Lower Village  
Arnold Taylor, Natural Resources Department, Hopi Tribe  
Nat Nutongla, Water Resources Program, Hopi Tribe  
Sharon Masek Lopez, Water Resources Program, Hopi Tribe  
Gayl Honanie, Environmental Protection Office, Hopi Tribe  
Wendell Honanie, Bureau of Indian Affairs, Hopi Agency  
Robert Lorenz, Indian Health Service  
Erika Schoen, Indian Health Service  
Elizabeth Stahl, Grants Management Office, USEPA, Region 9  
Corine Li, Manager, Drinking Water Office, USEPA, Region 9  
John Hamilton, Drinking Water Office, USEPA, Region 9  
Bessie Lee, Drinking Water Office, USEPA, Region 9





Elizabeth  
Stahl/R9/USEPA/US  
02/16/2006 09:46 AM

To RKagenveama@hopi.nsn.us  
cc WSecakuku-Serawop@hopi.nsn.us, YDay@hopi.nsn.us,  
NAmi@hopi.nsn.us, GHonanie@hopi.nsn.us, Rose Polivema  
<RPolivema@hopi.nsn.us>, Roger Tungovia  
bcc

Subject Hopi Grant: Extension Request

Dear Mr. Kagenveama:

EPA cannot accept your proposal below to submit The Hopi Tribe's overdue EPA grant financial and MBE/WBE reports by November 11 or 17, 2006. When the Tribe signed the grant awards, it agreed to comply with all the conditions and requirements of these grants. The Tribe has had EPA grants for many years and has been funded for many years by the General Assistance Program grants to set up Tribal procedures and policies to meet EPA grant requirements. Additionally, the Tribe is requesting more EPA funding in 2006. All future grant funding is also based on grant recipients' compliance with grant conditions. The Tribe is not meeting these conditions on over 17 current and expired grants. (see my message to you below)

EPA is unable to approve your request for an additional 11+ months to submit required grant reports. Please submit all the financial (FSR 269A) and MBE/WBE (5700-52A) reports by March 31, 2006. These reports should be submitted to the Grants Management Office. If you have any questions, please contact me as soon as possible.

Thank you.

Elizabeth Stahl  
EPA Grants Management Office, PMD-7  
75 Hawthorne Street  
San Francisco, CA 94105  
415-972-3662

EPA sent 1/27/06

TO: Richard Kagenveama, Finance Office -The Hopi Tribe

RE: All EPA Grants (approximately 20 grants)  
- Overdue Interim Financial Status Reports (on-going grants)  
- Overdue Final Financial Status Reports (for expired grants)  
- and Overdue MBE/WBE reports -- for all grants

Please note that The Hopi Tribe has not submitted the required annual financial status reports (FSRs) and Minority Business/Women Owned Business (MBE/WBE) reports which are conditions of all your EPA grant awards.

The Financial reports were due December 31, 2005 and the MBE/WBE reports were due October 31, 2005. As of this date, the Grants Management Office has not received any of the required reports on the 17+ grants the Tribe has with Region 9. The Tribe is out of compliance with grant conditions.

Please immediately confirm the status of all these reports and indicate when they will be submitted to me.

Thank you for your prompt attention to this request.

\*\*\*\*\*

----- Forwarded by Elizabeth Stahl/R9/USEPA/US on 02/16/2006 09:24 AM -----



Richard Kagenveama



<RKagenveama@hopi.nsn.us>

02/13/2006 07:18 AM

To Elizabeth Stahl/R9/USEPA/US@EPA

cc Winifred Secakuku-Serawop  
<WSecakuku-Serawop@hopi.nsn.us>, Yvonne Day

<YDay@hopi.nsn.us>, Nadine Ami <NAmi@hopi.nsn.us>

Subject Extension Request

Good Morning Ms. Stahl:

In regards to the deadline date of 11/10/06 for the completion of the financial reports I would like to request a second extension to **11/17/2006**. Not all reports have been completed and I would like to send one package of reports.

Your favorable response to this request is appreciated. Thank you.

Concurred: \_\_\_\_\_

E. Stahl, US EPA

Date

*/s/ Richard Kagenveama*

Contract/Grant Accountant

Office of Financial Management

Phone: (928) 734-3314

rkagenveama@hopi.nsn.us





December 13, 2005

Ivan L. Sidney  
CHAIRMAN

Todd Honyaoma, Sr.  
VICE-CHAIRMAN

Elizabeth Stahl, Grants Specialist  
U. S. Environmental Protection Agency  
Grants Management Section, PMD-7  
75 Hawthorne Street  
San Francisco, California 94105

Dear Ms. Stahl:

Enclosed is one signed original of Amendment #04 for the following:

1. Drinking Water Infrastructure Tribal Set Aside – Shungopavi, No. FS-98969401-0
2. Drinking Water Infrastructure Tribal Set Aside – Moenkopi, No. FS-98969501-0

The documents have been signed by Ivan L. Sidney, Chairman of the Hopi Tribe.

If you have any questions, please feel free to contact Mr. Richard Kagenveama, Contract/Grant Accountant at (928) 734-3314.

Sincerely,

  
Winifred Secakuku-Serawop, Director  
Office of Financial Management

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DEC 19 2005

GMO, PMD-7







**Bessie Lee/R9/USEPA/US**

11/15/2005 09:55 AM

To Elizabeth Stahl/R9/USEPA/US@EPA

cc Danny Collier/R9/USEPA/US@EPA

bcc

Subject My backup while I am on vacation - IAG DW-75-9553001

Elizabeth,

I will be on vacation starting November 16 and will return to the office on December 12. Danny Collier will be my backup on the Hopi infrastructure grants and Hopi-related projects.

The budget and project period for the subject IAG with IHS is being extended to November 30, 2009. You presently have the paperwork. Please route the paperwork to Danny while I am out of the office. Danny will get the paperwork routed through the Water Division.

Thanks...

~~~~~  
Bessie Lee  
~~~~~

U.S. Environmental Protection Agency, Region 9  
Drinking Water Office (WTR-6)  
75 Hawthorne Street  
San Francisco, California 94105-3901  
Phone: (415) 972-3776  
Fax: (415) 947-3549  
E-mail: lee.bessie@epa.gov





Bessie Lee/R9/USEPA/US

11/15/2005 10:02 AM

To nnutongla@hopi.nsn.us, Ex. 6 - Personal Privacy,  
roberson@hopitribe.org  
cc john.hamilton@ihs.gov, Corine Li/R9/USEPA/US@EPA,  
Elizabeth Stahl/R9/USEPA/US@EPA,  
genek@hopitelecom.net, Ex. 6 - Personal Privacy,  
bcc

Subject Documents to be Submitted to EPA by December 31, 2005  
for the Hopi Infrastructure Projects

Nat and Joelynn,

Before I start my vacation on November 16, 2005, I thought I would list those documents that are to be submitted to EPA by or before December 31, 2005 for the construction projects at Moenkopi and Shungopavi:

#### Shungopavi

**Next version of the draft EA.** EPA was informed that the next version of the draft EA would be available the week of November 14, 2005. Copies of the document are to be sent to John Hamilton and I. BIA should also be sent a copy.

This version of the draft EA should contain comments from the Water Resources Program (WRP) of the Hopi Tribe as well as incorporate past comments that EPA and BIA had submitted to WRP on previous versions of the draft EA. Our previous extensive set of comments had not been addressed and some of the comments were major concerns. As I had mentioned previously, rather than rush through to get a so-so document to EPA for review in order to meet a series of moving deadlines, I would prefer that a good, solid and defensible document be submitted on a realistic, yet later, date.

**Vegetation Study from the Hopi Tribe.** The study is needed before EPA can start its consultation activities with the U. S. Fish and Wildlife Service for the project. The consultation activities need to be completed by the time the EA is finalized, but it would be good to be able to include some discussion in the draft EA about the consultation activities.

**Revised Work Plan.** Even though the grant has been extended for four more years, that does NOT mean that there can be a slow down in the preparation of the revised work plan for the project. WRP and I had agreed that an approvable work plan would be submitted to EPA by December 31, 2005. Just a reminder, but one of the conditions of the grant states:

"If the grantee materially fails to comply with any term of this award, EPA may take one or more of the following actions, as appropriate in the circumstances,

- (a) Issue a stop-work order;
- (b) Temporarily withhold cash payments pending correction of the deficiency;
- (c) Disallow (that is, deny both use of funds and matching credit for) all or part of the cost of the activity or action not in compliance;
- (d) Wholly or partly suspend or terminate the current award;
- (e) Wholly or partly annul the current award;
- (f) Withhold further awards for the proposed project;
- (g) Request that the Director, Grants Administration Division, debar or suspend the grantee as an eligible recipient."

#### Moenkopi

**Revised Work Plan.** Same comments as for the revised work plan for the Shungopavi project. An approvable revised work plan is to be submitted to EPA by December 31, 2005. One of the conditions of the Moenkopi grant is similar to the Shungopavi grant. It states:





"If the grantee materially fails to comply with any term of this award, EPA may take one or more of the following actions, as appropriate in the circumstances,

- (a) Issue a stop-work order;
- (b) Temporarily withhold cash payments pending correction of the deficiency;
- (c) Disallow (that is, deny both use of funds and matching credit for) all or part of the cost of the activity or action not in compliance;
- (d) Wholly or partly suspend or terminate the current award;
- (e) Wholly or partly annul the current award;
- (f) Withhold further awards for the proposed project."

**Reminder about the Action Items from the Monthly Conference Call**

Based on the discussions during last month's conference call on the two projects, there are a series of action items that need to be completed for each project. Even though the product from completing each action item is not a direct deliverable to EPA, some of these action items will affect indirectly some of the deliverables listed above, especially the revised work plans. For example, identifying whether there is available land for the new treatment facility for the Moenkopi project. Meeting with the Moenkopi Development Corporation about potential sites for the treatment facility for the Moenkopi project. Meeting with the Traditional Leaders to identify a new well location for the Shungopavi project. Determining whether additional funding is needed to complete the Shungopavi project.

If you have any technical questions on the projects while I am on vacation, please contact John Hamilton at (602) 364-5061. I plan to be back in the office on Monday, December 12, 2005.

~~~~~  
Bessie Lee  
~~~~~

U.S. Environmental Protection Agency, Region 9  
Drinking Water Office (WTR-6)  
75 Hawthorne Street  
San Francisco, California 94105-3901  
Phone: (415) 972-3776  
Fax: (415) 947-3549  
E-mail: lee.bessie@epa.gov







UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
REGION IX

WATER DIVISION  
Drinking Water Office (WTR-6)  
75 Hawthorne Street  
San Francisco, California 94105

October 5, 2005

Arnold Taylor, Director  
Natural Resources Department  
Hopi Tribe of Arizona  
P.O. Box 123  
Kykotsmovi, Arizona 86039

RE: Work Plan Requirements  
Drinking Water Tribal Set-Aside Grant No. FS 98969501  
Moenkopi Water Improvement Project  
Hopi Indian Reservation, Arizona

Dear Mr. Taylor:

The Hopi Tribe was awarded a Drinking Water Tribal Set-Aside (DWTSA) grant in 2000 from the U.S. Environmental Protection Agency (USEPA), Region 9, for a water improvement project to benefit the Village of Moencopi (Lower) and Upper Village of Moenkopi. Because little progress on the project was being made since the grant was awarded in 2000, and the grant is set to expire on November 30, 2005, Bessie Lee of the Drinking Water Office sent an e-mail to the Hopi Tribe on April 14, 2005 indicating that in order for the grant to be extended, the project must be moving forward and an USEPA-approved revised work plan must be in place by October 1, 2005. Since June 2005, the two Villages have been meeting weekly in order to identify and agree upon a water source for the project (i.e., a preferred alternative). Primarily because the two Villages had been working together diligently in order to move the project forward, the submittal date for a USEPA-approvable revised work plan was moved to November 1, 2005.

Using information from a September 9, 2005 letter from the Village of Moencopi (Lower) and Upper Village of Moenkopi to Arnold Taylor of the Hopi Tribe concerning the drinking water improvement project, the Villages have entered into a Memorandum of Agreement (MOA) dated September 9, 2005 in which they have agreed to the following:

1. The Upper Village of Moenkopi, the Village of Moencopi (Lower), and the Hopi Tribe Water Resources Program will proceed with the implementation of the DWTSA improvement project consisting of developing the C-Aquifer well and installing the reverse osmosis treatment facility.
2. The Village of Moencopi (Lower) will connect to the Village of Upper Moenkopi water system as a customer for domestic water service for only the Administration Building and the proposed Bathhouse. The Village of Moencopi (Lower) residents shall have the option in the future to connect individual dwellings to the Village of Upper Moenkopi water system should the homeowner so desire. It is USEPA understands that the details on the location for the future connection point, as well as how the connections would be administrated by the Village of Moencopi (Lower), would be determined in the very near future.

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3. A Domestic Water Service Agreement shall be adopted by and between the two Villages that will set forth the terms and conditions for the Provider/Customer relationship of the Villages.

Based on the information in the September 9, 2005 MOA, a preferred alternative for the DWTSA water improvement project has been agreed to by both Villages. Thus, the project is moving forward. The next step is for the Hopi Tribe to submit a revised work plan, with an associated revised budget and schedule, to USEPA for review and approval.

The purpose of this letter is to provide guidance and recommendations on the types of information that need to be included in the revised work plan for the Moenkopi project. 40 CFR §35.507 lists the specific work plan requirements. Basically, an approvable work plan must contain:

- A discussion on the **purpose and need, goals and objectives, and outcomes and outputs** for the grant activities. These elements clarify the need and intent of the tasks.
- The **work plan components** to be funded under the grant.
- The **estimated work years and estimated funding amounts** for each work plan component. A work year is equivalent to 2,080 hours. Work year estimates are usually expressed as percentages (e.g., 10%) of a work year that personnel are expected to devote to the work plan component. A summation of work years for each work plan component should match the total personnel work years shown on the budget pages.
- The **work plan commitments** for each work plan component, and a **time frame** for their accomplishment. The work plan commitments are the outputs, outcomes, and timeframe for completion associated with each work plan component.
- **Work plan outputs** are activities or efforts and the associated work products. An example of an activity or effort and associated work product is "Construct the Water Treatment Facility." The work plan output must be measurable.
- An **outcome** is the environmental result, effect, or consequence that will occur from carrying out the activities that is related to a programmatic goal or objective. An example of an outcome is "Five homes will be provided safe drinking water."
- The **roles and responsibilities** of the **recipient** and **USEPA** to carry out the work plan commitments. Besides identifying their roles and responsibilities, the recipient is required to identify their expectations for the roles and responsibilities of USEPA staff in carrying out the work plan commitments.
- A **performance evaluation process and reporting schedule** in accordance with 40 CFR §35.515. Work plans must describe a joint (i.e., tribe/USEPA) evaluation process.

For the performance evaluation process, 40 CFR §35.515 require the following:

- **Joint evaluation process** – The applicant and USEPA will develop a process for jointly evaluating and reporting progress and accomplishments under the work plan. A description of the evaluation process and reporting schedule must be included in the work plan. The report must satisfy the requirements for progress reporting under 40 CFR §31.40(b).
- **Elements of the evaluation process** – The evaluation process must provide for: (1) a discussion of accomplishments as measurement against work plan commitments, (2) a discussion of the cumulative effectiveness of the work performed under all work plan components, (3) a discussion of the existing and potential problem areas, and (4) suggestions for improvements, including, where feasible, schedules for making improvements.

The work plan should also include a reference to the specific goals and objectives of USEPA's 2003-2005 Strategic Plan that the project meets. The goals and objectives of USEPA's Strategic Plan that a drinking water infrastructure project meets include:



- Goal 2 (Clean and Safe Drinking Water), Objective 2.1 (Protect Human Health), Sub-Objective 2.1.1 (Water Safe to Drink), and
- Goal 5 (Compliance and Environmental Stewardship), Objective 5.3 (Build Tribal Capacity).


A sample work plan is attached. Even though the work plan is not for a drinking water infrastructure project, it provides a sample of the various work plan elements.

A revised budget also needs to be submitted with the revised work plan. Either Standard Form (SF) 424B should be completed or the information in SF 424B should be included when providing the details of the revised budget according to USEPA's budget categories. Besides the cost for each work plan component, the revised budget should also include the total cost for the project broken down by the USEPA budget categories. A sample of the revised budget is also included in the attached sample work plan.

Once the revised work plan and budget are approved by USEPA, the grant will be extended for only the period stated in the work plan. That is, if the work plan schedule indicates that it will take two years to complete the project, the grant will be extended for two years. There will be no further extensions of the grant period beyond what is stated in the work plan.

Should you have any questions concerning the contents of this correspondence, please do not hesitate to contact either Ms. Bessie Lee of the Drinking Water Office at (415) 972-3776 or me at (415) 972-3560.

Sincerely,

  
Corine Li, Manager  
Drinking Water Office

Attachment: Sample Work Plan

cc: Wayne Taylor, Jr., Chairman, Hopi Tribe (without attachment)  
Nat Nutongla, Water Resources Program, Hopi Tribe (without attachment)  
Joelynn Roberson, Water Resources Program, Hopi Tribe  
Ramcita Dugi, Upper Village of Moenkopi (without attachment)  
Harris Polelonema, Village of Moencopi (Lower) (without attachment)  
Elizabeth Stahl, Grants Management Office, USEPA, Region 9  
John Hamilton, Drinking Water Office, USEPA, Region 9  
Bessie Lee, Drinking Water Office, USEPA, Region 9





**Sample Work Plan  
Native Village of Raven  
FY 2006 Indian General Assistance Program  
Grant Period from October 1, 2005 to September 30, 2006**

**I. INTRODUCTION**

The Native Village of Raven (Village) is in southeast Alaska on the Black River, approximately 30 air miles north of Juneau. Raven is a federally recognized tribe and is the governing body for the Village. In recent years, the Village has been revitalized. The population has jumped from 40 to 60 residents and is expected to increase as the Village develops facilities and infrastructures that support community growth. Ninety-six (96) percent of the population is Alaskan Native. Travel to other villages is by plane, ferry, or skiff as there are no connecting roads to surrounding communities.

**A. Environmental Issues**

In 2004, six individual wells and seven septic systems were constructed for private homes within the Village. Eventually the septic systems will need to be pumped and the waste properly disposed. Identification of a suitable method of sewage disposal, with associated costs, and funding sources for the project will be one of the priorities for the Village.

Safe fuel storage for the Village's power plant, commercial businesses, private homes, and the school is also a concern. No spill response plans for fuel storage are in place for the tribally-owned power plant (40,000-gallon-capacity underground storage tank) or the school (18,000-gallon-capacity underground storage tank). It is extremely important that the Village develop the capability to respond if there is a spill of any size. The Village will research spill response plans used by other small communities and develop and adopt a plan based on information from the research.

Every summer, hunting and fishing camps engulf the Black River. There are 13 commercial camps and one lodge, as well as 154 traditional camps, on the lower portion of the Black River. This has raised concerns about the environmental impacts on water quality from human and solid waste disposal. Additionally, two small mining operations are currently in the development and permit application stages. The mines are expected to be operational in 2007.

**B. Capabilities**

Raven first received an Indian General Assistance Program (GAP) grant in 2004 and is now applying for its third year of GAP funding. Environmental staff includes a full-time Environmental Coordinator and a half-time Environmental Technician. Environmental staff and Village Council Members have attended workshops sponsored by the U.S. Environmental Protection Agency (USEPA) about GAP. Administrative staff has attended training in bookkeeping and grant writing to improve their ability to manage and write grants. Environmental staff has also attended water quality monitoring workshops that helped the staff conduct two half-day classes at the local school for students in Grades 9 through 12. The training will also be useful in conducting future water quality baseline monitoring activities.

Environmental staff researched information that resulted in several recent Village improvement projects. An example is the Alaska Native Health Board solid waste demonstration project in



which a pilot composting project was set up for the school. Environmental staff was also the liaison between the Village and its technical consultant during the development of the Village's water, sewer, and solid waste management study. The regional Housing Authority also relied on the Environmental Coordinator as a contact person and information source.

Raven is a member of the Black River Watershed Council (BRWC) that was formed in 2001 by the surrounding communities to preserve water quality and protect habitat in the Black River watershed. Environmental staff has been instrumental in securing funding for outreach and environmental education projects conducted by the BRWC.

### **C. Accomplishments**

The Tribal Administrator continues to work with the bookkeeper and Tribal Council to enhance the Tribe's capability to manage federal and non-federal grants and programs. Part of this work resulted in the development of a more formal organizational structure for the Tribe. The Environmental Program now reports directly to the Tribal Administrator. Using the present GAP funding, administrative staff was able to upgrade to a computerized accounting system and is completing revisions to the Tribe's internal financial policies and procedures. This activity will be completed by September 30, 2005.

The 2004 annual audit was just completed. No problems were noted. There were difficulties in 2002, but these have since been corrected. Due to recent changes in the A-133 audit process, the Tribe does not expect to reach the \$500,000 audit threshold. However, the Tribe will continue to evaluate internal management systems on an annual basis to ensure compliance and will continue building capacity to successfully administer federal funds.

## **II. PURPOSE AND NEED**

Raven is a small village in Alaska with very limited resources. The Village has identified environmental concerns and issues. With the growing population, new concerns will develop. The Village needs to have an efficient and operational Environmental Program in place to address the existing and new environmental concerns and issues. Funding from the Indian General Assistance Program is one of the few ways that the Village can afford to develop the capabilities of its Environmental Program.

## **III. PROJECT GOALS AND OBJECTIVES**

The Tribe's goal is to concentrate on building a core capacity to develop and administer environmental programs to address the environmental concerns and issues identified above. This means that the Environmental Program needs to have financial, administrative, and technical expertise in place to effectively manage the program.

The short-term (i.e., for FY 2006) objectives for the Tribe's Environmental Program are to address the issues identified in this work plan. These are to: (1) identify a suitable method of sewage disposal, with associated costs and funding sources for a septic system waste disposal project, (2) research and develop spill response plans, and (3) evaluate environmental impacts on water quality from human and solid waste disposal. The long-term objective for the Tribe's Environmental Program is to reach the Tribe's goal of building a core capacity to develop and administer programs to address the environmental concerns and issues of the Tribe.



#### **IV. GOALS AND OBJECTIVES OF THE USEPA STRATEGIC PLAN**

The activities described in this work plan will meet the following goals and objectives of USEPA's 2003 to 2008 Strategic Plan:

Goal 2: Clean and Safe Water

Objective 2.2: Protect Water Quality

Sub-Objective 2.2.1: Improve Water Quality on a Watershed Basis

Goal 5: Compliance and Environmental Stewardship

Objective 5.3: Build Tribal Capacity

#### **V. WORK PLAN COMPONENTS**

The components of the work plan, given the goals and objectives discussed in Section III, are to:

1. Maintain programmatic and administrative functions and continue capacity building and training.
2. Evaluate administrative policies and procedures and management systems.
3. Develop a five-year Environmental Protection Plan.
4. Continue participation on the Black River Watershed Council.
5. Identify funding sources and apply for funding to address solid and hazardous waste management concerns.
6. Assess and document environmental conditions in the traditional use areas of the Village.

#### **VI. WORK PLAN NARRATIVE**

This section describes the activities that are proposed to support the goals and work plan components identified above. A tabular summary of the information in this section is attached as Table 1.

The Tribal Administrator and bookkeeper are responsible for maintaining audit-acceptable financial records, processing payroll, ensuring administrative requirements are met, and participating in the objectives that will develop the procedures and policies to manage the Environmental Program. The Environmental Coordinator has primary responsibility for implementing the work plan. The Environmental Technician will provide program support to accomplish the work plan tasks. Consultants will be hired to work with tribal staff to help develop the Five-Year Environmental Protection Plan and to help refine the administrative policies and procedures.

##### **COMPONENT 1: Maintain Programmatic and Administrative Functions and Continue Capacity Building and Training.**

**Personnel:** Environmental Coordinator, Environmental Technician

**Approach/Responsibilities:** Both environmental staff positions will continue to be funded by GAP. A laptop will be purchased so the Environmental Coordinator and Environmental



Technician will be able to record information when traveling. Tribal environmental staff, the Tribal Administrator, and/or a Tribal Council member will attend the spring and autumn USEPA GAP Conferences in Anchorage, Alaska, as well as the USEPA Region 10 Tribal Leaders Summit in Seattle, Washington. Tribal staff will also be replacing dilapidated furniture. Environmental staff will develop and submit appropriate reports to the USEPA Project Officer.

- Tasks:**
1. Research computer, office furniture sources. (October 2005)
  2. Order supplies as described. (November 2005)
  3. Prepare quarterly progress reports, annual financial status reports, quarterly joint performance evaluation reports, and other required documentation to USEPA. (Quarterly)
  4. Attend spring and autumn USEPA GAP Conferences and USEPA Region 10 Tribal Leaders Summit.
  5. Work with bookkeeper and Tribal Administrator to ensure that required reports are submitted on time. (Quarterly)

**Timeline:** October 2005 through September 2006

**Environmental Outcomes/Results:** Proper grant management and work conducted in accordance with the approved work plan. Tribal staff and Tribal Council members will receive training to enhance Environmental Program development and management capabilities.

**Outputs/Deliverables:** Conferences attended will be summarized in the quarterly reports to the USEPA Project Officer. Annual financial status reports will be submitted to the USEPA Grants Specialist, with a copy to the USEPA Project Officer. Joint evaluation reports will be included as part of the quarterly reports to the USEPA Project Officer. Progress of each task will be summarized in the quarterly reports to the USEPA Project Officer.

## **COMPONENT 2: Evaluate Administrative Policies and Procedures and Management Systems.**

**Personnel:** Environmental Coordinator, Consultant

**Approach/Responsibilities:** To ensure that the Tribe's administrative systems comply with federal grant management requirements, a consultant will be hired to help the Tribal Administrator evaluate and recommend improvements to the management system. The Tribal Administrator will provide support for this component as part of her general duties.

- Tasks:**
1. Review OMB guidelines on procurement and hiring of contractors and consultants. (October 2005)
  2. Solicit proposals, select consultant, and negotiate contract with consultant. (November to December 2005)
  3. Environmental Coordinator works with Tribal Administrator and consultant to evaluate internal management systems and policies. Consultant will generate report and recommendations for improvements. (December 2005 through March 2006)
  4. Develop draft changes based on results of Task 3. (April 2006)
  5. Hold meeting(s) with the Tribal Council and previously-formed Environmental Committee to review draft changes and recommendations. (April 2006)



6. Implement changes after adoption by the Tribal Council. (June 2006)

**Timeline:** October 2005 through June 2006

**Environmental Outcomes/Results:** Compliance with federal grant management requirements. Improvements to internal management systems and policies.

**Outputs/Deliverables:** Written assessment of administrative and management systems including findings and recommendations on areas needing improvement. Meetings held with the Tribal Council and Environmental Committee and progress made in developing and implementing changes will be summarized in the quarterly reports to the USEPA Project Officer. A copy of the assessment report will be sent to the USEPA Project Officer. Progress of each task will be summarized in the quarterly reports to the USEPA Project Officer.

### **COMPONENT 3: Develop a Five-Year Environmental Protection Plan.**

**Personnel:** Environmental Coordinator, Environmental Technician, Consultant

**Approach/Responsibilities:** Environmental staff, with the assistance of a consultant, will develop a Five-Year Environmental Protection Plan to address environmental concerns and issues that have been identified in previous Village surveys and at Tribal Council meetings. The five-year plan will be a precursor to a future baseline water quality assessment. The consultant will guide tribal staff through the process, since tribal staff has no strategic planning experience. Understanding the value and process of long-range planning is an integral part of this component in order to gain Tribal Council and community support.

- Tasks:**
1. Review OMB guidelines on procurement and hiring of contractors and consultants. (October 2005)
  2. Contact other tribes that have produced an Environmental Protection Plan and information on consultants retained for this purpose. (October 2005)
  3. Solicit proposals, select consultant, and negotiate consultant contract to work with environmental staff and the Tribal Council on developing a long-range plan. (November to December 2005)
  4. Compile information that consultant will need to understand the Village's environmental concerns. (January 2006)
  5. Organize workshop(s) with the Tribal Council and Environmental Committee to discuss and outline steps to complete a long-range plan and receive Tribal Council approval. (January through April 2006)
  6. Submit draft Five-Year Environmental Protection Plan to tribal staff and the Tribal Council for review and comment. (July 2006)
  7. Finalize Five-Year Environmental Protection Plan and submit to the Tribal Council for approval. (September 2006)

**Timeline:** October 2005 through September 2006

**Environmental Outcomes/Results:** Understanding by tribal staff and Tribal Council members of the processes and steps to develop a long-range plan and involvement in developing an Environmental Protection Plan. Strategic planning skills will benefit the Tribe in their efforts to address other community development issues.



**Outputs/Deliverables:** Five-year plan to address environmental concerns and needs. A copy of the Five-Year Environmental Protection Plan will be sent to the USEPA Project Officer. Progress of each task will be summarized in the quarterly reports to the USEPA Project Officer.

#### **COMPONENT 4: Continue Participation on the Black River Watershed Council.**

**Personnel:** Environmental Coordinator, Environmental Technician

**Approach/Responsibilities:** Raven has been an active participant of the Black River Watershed Council since it was formed in 2001. The BRWC meets quarterly and is working on a watershed plan for the lower Black River sub-watershed. The watershed plan will address immediate concerns (i.e., pollution sources in the villages) and long-term issues from existing and potential development along the river corridor. The BRWC has requested that Raven environmental staff assume a greater role in providing technical assistance and gathering of information for the watershed plan.

- Tasks:**
1. Attend quarterly meetings in several nearby villages. Member tribes rotate hosting the quarterly meetings. (Quarterly)
  2. Gather information for watershed planning. (October 2005 through March 2006)
  3. Keep Tribal Council abreast of the BRWC's progress. (Monthly)
  4. Collaborate with environmental staff from the other member villages of the BRWC to develop priorities and activities. (On-going)
  5. Host one BRWC meeting and participate in plan finalization. (June 2006)
  6. Hold Village public meetings to inform residents and gather input on key decision points. (As needed)

**Timeline:** October 2005 through September 2006

**Environmental Outcomes/Results:** The BRWC is a forum for the villages along the Black River to work together to protect water quality and habitat. Networking with villages and exposure to consensus-based decision-making processes are additional benefits from the Tribe's participation in this planning process. Through on-going efforts, the Black River watershed will be better protected and the village residents more informed on the health of the watershed.

**Outputs/Deliverables:** BRWC meetings and work completed on their behalf will be summarized in the quarterly reports. Copies of interim and final watershed plans will be provided to the USEPA Project Officer. Progress of each task will be summarized in the quarterly reports to the USEPA Project Officer.

#### **COMPONENT 5: Identify Funding Sources and Apply for Funding to Address Solid and Hazardous Waste Management Concerns.**

**Personnel:** Environmental Coordinator, Environmental Technician

**Approach/Responsibilities:** Environmental staff will research available funding sources and technical resources/partners that can be utilized in completing solid and hazardous waste



activities outlined in the Tribe's water, sewer, and solid waste master plan. After identifying the funding sources, staff will apply for the funds.

- Tasks:**
1. Gather information from agencies and organizations on available resources and technical assistance. (On-going)
  2. Contact other villages for information on strategies and funding sources to develop and implement programs that address solid and hazardous waste issues. (October through December 2005)
  3. Prepare a list of funding sources and grant application deadlines. (December 2005)
  4. Incorporate information from Tasks 1 and 2 into the Tribe's Five-Year Environmental Protection Plan. (December 2005)
  5. Develop and submit at least two applications for funding solid and hazardous waste priorities. (December 2005 through April 2006)

**Timeline:** October 2005 through September 2006

**Environmental Outcomes/Results:** Information needed to begin planning for and addressing solid and hazardous waste issues facing the Village. Knowledge of grant and other funding sources that the Tribe can apply for during the next fiscal years to address some of these issues as well as a community education and prevention program on the health risks associated with hazardous wastes and household chemicals.

**Outputs/Deliverables:** List of available funding sources and technical resources to address the Village's solid and hazardous waste concerns. A copy of the list will be sent to the USEPA Project Officer. At least two funding proposals for solid-hazardous waste projects will be submitted to the funding agencies. Copies of the proposals will also be sent to the USEPA Project Officer. Progress of each task will be summarized in the quarterly reports to the USEPA Project Officer.

#### **COMPONENT 6: Assess and Document Environmental Conditions in the Traditional Use Areas of the Village.**

**Personnel:** Environmental Coordinator, Environmental Technician

**Approach/Responsibilities:** This work will be conducted by environmental staff to support the Village's Five-Year Environmental Protection Plan.

- Tasks:**
1. Interview local elders to gather knowledge of past environmental problems. (January through March 2006)
  2. Visit and photograph areas of environmental concern in the Tribe's traditional resource areas, including the traditional camp sites, former landfill, military sites, and mining sites. (April through May 2006)
  3. Compile information for use in the Five-Year Environmental Protection Plan and in the development of an educational brochure for Village residents. (July 2006)

**Timeline:** January through July 2006



**Environmental Outcomes/Results:** Information collected will support long-range planning efforts and improve linkages to agencies. The community will be better informed of environmental issues and concerns facing the Village.

**Outputs/Deliverables:** A summary of the information gathered will be presented to the Tribal Council. Residents of the Village will be sent copies of the educational brochure. The summary and the educational brochure will be sent to the USEPA Project Officer. Progress of each task will be summarized in the quarterly reports to the USEPA Project Officer.

## **VII. JOINT PERFORMANCE EVALUATION PROCESS**

Within 30 days of the end of each fiscal quarter, environmental staff will submit a performance report that (1) details the accomplishments toward the completion of work plan commitments, (2) discusses the work performed for all work plan components, and (3) identifies any existing problem areas that could affect or delay projection completion. If the USEPA Project Officer, after reviewing the performance report, finds that the Tribe has not made sufficient progress under the work plan, USEPA and the Raven Tribal Council will negotiate a resolution that addresses the issues. This evaluation process will help to ensure that the grant is being administered properly and that work conducted under the grant is in accordance with the approved work plan.

## **VIII. USEPA ROLES AND RESPONSIBILITIES**

USEPA will have no substantial involvement in the completion of the work plan commitments. USEPA will monitor progress and provide technical assistance as needed to ensure completion of the work plan components and associated tasks.

## **IX. BUDGET**

### **A. Breakdown of the Total Cost by Work Plan Component**

The following summarizes the total cost by work plan component:

<b>Component</b>	<b>Description</b>	<b>Cost</b>
1	Maintain programmatic and administrative functions and continue capacity building and training.	\$ 42,871
2	Evaluate administrative policies and procedures and management systems.	\$ 11,187
3	Develop a Five-Year Environmental Protection Plan.	\$ 20,703
4	Continue participation on the Black River Watershed Council.	\$ 10,076
5	Identify funding sources and apply for funding to address solid and hazardous waste management concerns.	\$ 5,309



<b>Component</b>	<b>Description</b>	<b>Cost</b>
6	Assess and document environmental conditions in the traditional use areas of the Village.	\$ 19,854
<b>TOTAL</b>		<b>\$ 110,000</b>

Details of the budget breakdown by work plan component are found in Table 1, the tabular work plan.

#### **B. Breakdown of the Total Cost by Budget Category**

The following is a breakdown of the total cost by budget category. The details of each budget category and notes associated with the budget are included as Table 2, which is a completed SF 424B form.

<b>Budget Category</b>	<b>Total</b>
Personnel	\$ 50,960
Fringe	\$ 10,702
Travel	\$ 14,678
Equipment	\$ 10,400
Supplies	\$ 4,580
Contractual	\$ 11,200
Construction	\$ 0
Other	\$ 7,480
Indirect Costs	\$ 0
<b>TOTAL</b>	<b>\$ 110,000</b>



**TABLE 1. DETAILS OF SAMPLE WORK PLAN COMPONENTS**  
**Native Village of Raven**  
**FY 2006 Indian General Assistance Program**  
**Grant Period from October 1, 2005 to September 30, 2005**

Component / Task	Output / Deliverable	Due Date	Personnel	Costs
<b>COMPONENT 1: MAINTAIN PROGRAMMATIC AND ADMINISTRATIVE FUNCTIONS AND CONTINUE CAPACITY BUILDING AND TRAINING.</b>				<b>TOTAL COMPONENT 1 COST = \$42,871</b>
Task 1. Research computer, office furniture sources.	Information summarized in the quarterly reports	Oct 2005	Environmental Technician	Personnel = \$31,200 x 1% + \$65 (fringe) = \$377 TASK 1 TOTAL = \$377
Task 2. Order supplies as described.	Information summarized in the quarterly reports	Nov 2005	Environmental Coordinator	Personnel = \$35,360 x 1% + \$74 (fringe) = \$428 Equipment = \$3,000 Supplies = \$4,080 Other = \$7,480 TASK 2 TOTAL = \$14,988
Task 3. Prepare quarterly progress reports, annual financial status reports, quarterly joint performance evaluation reports, and other required documentation to USEPA.	Quarterly reports  Annual status reports Quarterly joint performance evaluation reports	Jan 30, 2006 April 30, 2006 July 30, 2006 Oct 30, 2006 Oct 30, 2006  Jan 30, 2006 April 30, 2006 July 30, 2006 Oct 30, 2006	Environmental Coordinator, Environmental Technician  Environmental Coordinator Environmental Coordinator, USEPA Project Officer	Personnel = \$35,360 x 10% + \$743 (fringe) = \$4,279 \$31,200 x 8% + \$524 (fringe) = \$3,020 TASK 3 TOTAL = \$7,299
Task 4. Attend spring and autumn USEPA GAP Conferences and USEPA Region 10 Tribal Leaders Summit.	Information summarized in the quarterly reports	--	Environmental Coordinator, Environmental Technician	Personnel = \$35,360 x 8% + \$594 (fringe) = \$3,423 \$31,200 x 5% + \$327 (fringe) = \$1,887 Travel = \$12,758 TASK 4 TOTAL = \$18,068
Task 5. Work with bookkeeper and Tribal Administrator to ensure that required reports are submitted on time.	Information summarized in the quarterly reports	Quarterly	Environmental Coordinator	Personnel = \$35,360 x 5% + \$371 (fringe) = \$2,139 TASK 5 TOTAL = \$2,139



**TABLE 1. DETAILS OF SAMPLE WORK PLAN COMPONENTS (continued)**  
**Native Village of Raven**  
**FY 2006 Indian General Assistance Program**  
**Grant Period from October 1, 2005 to September 30, 2005**

Component / Task	Output / Deliverable	Due Date	Personnel	Costs
<b>COMPONENT 2: EVALUATE ADMINISTRATIVE POLICIES AND PROCEDURES AND MANAGEMENT SYSTEMS.</b>				<b>TOTAL COMPONENT 2 COST = \$11,187</b>
Task 1. Review OMB guidelines on procurement and hiring of contractors and consultants.	Information summarized in the quarterly reports	Oct 2005	Environmental Coordinator	Personnel = \$35,360 x 1% + \$74 (fringe) = \$428 TASK 1 TOTAL = \$428
Task 2. Solicit proposals, select consultant, and negotiate contract with consultant.	Copies of proposals and contract included in the quarterly reports	Dec 2005	Environmental Coordinator	Personnel = \$35,360 x 3% + \$223 (fringe) = \$1,284 TASK 2 TOTAL = \$1,284
Task 3. Environmental Coordinator works with Tribal Administrator and consultant to evaluate internal management systems and policies. Consultant will generate report and recommendations for improvements.	Progress summarized in the quarterly reports Report with recommendations for improvements	Quarterly  March 2006	Environmental Coordinator  Environmental Coordinator, Consultant	Personnel = \$35,360 x 10% + \$743 (fringe) = \$4,279 Consultant = \$2,200 TASK 3 TOTAL = \$6,479
Task 4. Develop draft changes based on results of Task 3.	Progress summarized in the quarterly reports	April 2006	Environmental Coordinator	Personnel = \$35,360 x 3% + \$223 (fringe) = \$1,284 TASK 4 TOTAL = \$1,284
Task 5. Hold meeting(s) with the Tribal Council and previously-formed Environmental Committee to review draft changes and recommendations.	Activities summarized in the quarterly reports	April 2006	Environmental Coordinator	Personnel = \$35,360 x 2% + \$149 (fringe) = \$856 TASK 5 TOTAL = \$856
Task 6. Implement changes after adoption by the Tribal Council.	Activities summarized in the quarterly reports	June 2006	Environmental Coordinator	Personnel = \$35,360 x 2% + \$149 (fringe) = \$856 TASK 6 TOTAL = \$856



**TABLE 1. DETAILS OF SAMPLE WORK PLAN COMPONENTS (continued)**  
**Native Village of Raven**  
**FY 2006 Indian General Assistance Program**  
**Grant Period from October 1, 2005 to September 30, 2005**

Component / Task	Output / Deliverable	Due Date	Personnel	Costs
<b>COMPONENT 3: DEVELOP A FIVE-YEAR ENVIRONMENTAL PROTECTION PLAN.</b>				<b>TOTAL COMPONENT 3 COST = \$20,703</b>
Task 1. Review OMB guidelines on procurement and hiring of contractors and consultants.	Information summarized in the quarterly reports	Oct 2005	Environmental Technician	Personnel = \$31,200 x 1% + \$65 (fringe) = \$377 TASK 1 TOTAL = \$377
Task 2. Contact other tribes that have produced an Environmental Protection Plan and information on consultants retained for this purpose.	Information summarized in the quarterly reports	Oct 2005	Environmental Technician	Personnel = \$31,200 x 1% + \$65 (fringe) = \$377 TASK 2 TOTAL = \$377
Task 3. Solicit proposals, select consultant, and negotiate consultant contract to work with environmental staff and the Tribal Council on developing a long-range plan.	Information summarized in the quarterly reports; copies of proposals and contract to be sent to USEPA Project Officer	Dec 2005	Environmental Coordinator, Environmental Technician	Personnel = \$35,360 x 3% + \$223 (fringe) = \$1,284 \$31,200 x 1% + \$65 (fringe) = \$377 TASK 3 TOTAL = \$1,661
Task 4. Compile information that consultant will need to understand the Village's environmental concerns.	Information summarized in the quarterly reports	Jan 2006	Environmental Technician	Personnel = \$31,200 x 8% + \$524 (fringe) = \$3,020 TASK 4 TOTAL = \$3,020
Task 5. Organize workshop(s) with the Tribal Council and Environmental Committee to discuss and outline steps to complete a long-range plan and receive Tribal Council approval.	Information summarized in the quarterly reports	April 2006	Environmental Coordinator	Personnel = \$35,360 x 3% + \$223 (fringe) = \$1,284 TASK 5 TOTAL = \$1,284
Task 6. Submit draft Five-Year Environmental Protection Plan to tribal staff and the Tribal Council for review and comment.	Draft Five-Year Environmental Protection Plan	July 2006	Environmental Coordinator, Environmental Technician, Consultant	Personnel = \$35,360 x 6% + \$446 (fringe) = \$2,568 \$31,200 x 2% + \$131 (fringe) = \$755 Consultant = \$8,000 TASK 6 TOTAL = \$11,323
Task 7. Finalize Five-Year Environmental Protection Plan and submit to the Tribal Council for approval.	Final Five-Year Environmental Protection Plan	Sep 2006	Environmental Coordinator, Consultant	Personnel = \$35,360 x 3% + \$223 (fringe) = \$1,284 \$31,200 x 1% + \$65 (fringe) = \$377 Consultant = \$1,000 TASK 7 TOTAL = \$2,661



**TABLE 1. DETAILS OF SAMPLE WORK PLAN COMPONENTS (continued)**  
**Native Village of Raven**  
**FY 2006 Indian General Assistance Program**  
**Grant Period from October 1, 2005 to September 30, 2005**

Component / Task	Output / Deliverable	Due Date	Personnel	Costs
<b>COMPONENT 4: CONTINUE PARTICIPATION ON THE BLACK RIVER WATERSHED COUNCIL.</b>				<b>TOTAL COMPONENT 4 COST = \$10,076</b>
Task 1. Attend quarterly meetings in several nearby villages. Member tribes rotate hosting the quarterly meetings.	Information summarized in the quarterly reports	Quarterly	Environmental Coordinator	Personnel = \$35,360 x 2% + \$149 (fringe) = \$856 \$31,200 x 2% + \$131 (fringe) = \$755 Travel = \$1,920 TASK 1 TOTAL = \$3,531
Task 2. Gather information for watershed planning.	Information summarized in the quarterly reports Interim watershed plan	Quarterly  March 2006	Environmental Coordinator, Environmental Technician	Personnel = \$35,360 x 2% + \$149 (fringe) = \$856 \$31,200 x 4% + \$262 (fringe) = \$1,510 TASK 2 TOTAL = \$2,366
Task 3. Keep Tribal Council abreast of the BRWC's progress.	Information summarized in the quarterly reports	Monthly	Environmental Coordinator	Personnel = \$35,360 x 2% + \$149 (fringe) = \$856 TASK 3 TOTAL = \$856
Task 4. Collaborate with environmental staff from the other member villages of the BRWC to develop priorities and activities.	Information summarized in the quarterly reports	On-going	Environmental Coordinator	Personnel = \$35,360 x 2% + \$149 (fringe) = \$856 TASK 4 TOTAL = \$856
Task 5. Host one BRWC meeting and participate in plan finalization.	Information summarized in the quarterly reports Final watershed plan	Quarterly  June 2006	Environmental Coordinator, Environmental Technician	Personnel = \$35,360 x 2% + \$149 (fringe) = \$856 \$31,200 x 2% + \$131 (fringe) = \$755 TASK 5 TOTAL = 1,611
Task 6. Hold Village public meetings to inform residents and gather input on key decision points.	Information summarized in the quarterly reports	As needed	Environmental Coordinator	Personnel = \$35,360 x 2% + \$149 (fringe) = \$856 TASK 6 TOTAL = \$856



**TABLE 1. DETAILS OF SAMPLE WORK PLAN COMPONENTS (continued)**  
**Native Village of Raven**  
**FY 2006 Indian General Assistance Program**  
**Grant Period from October 1, 2005 to September 30, 2005**

Component / Task	Output / Deliverable	Due Date	Personnel	Costs
<b>COMPONENT 5: IDENTIFY FUNDING SOURCES AND APPLY FOR FUNDING TO ADDRESS SOLID AND HAZARDOUS WASTE MANAGEMENT CONCERNS.</b>				<b>TOTAL COMPONENT 5 COST = \$5,309</b>
Task 1. Gather information from agencies and organizations on available resources and technical assistance.	Information summarized in the quarterly reports	On-going	Environmental Technician	Personnel = \$31,200 x 1% + \$65 (fringe) = \$377 TASK 1 TOTAL = \$377
Task 2. Contact other villages for information on strategies and funding sources to develop and implement programs that address solid and hazardous waste issues.	Information summarized in the quarterly reports	Dec 2005	Environmental Coordinator, Environmental Technician	Personnel = \$35,360 x 2% + \$149 (fringe) = \$856 \$31,200 x 1% + \$65 (fringe) = \$377 TASK 2 TOTAL = \$1,233
Task 3. Prepare a list of funding sources and grant application deadlines.	Information summarized in the quarterly reports List of funding sources and technical resources; copy to be sent to USEPA Project Officer	Quarterly  Dec 2005	Environmental Technician	Personnel = \$31,200 x 1% + \$65 (fringe) = \$377 TASK 3 TOTAL = \$377
Task 4. Incorporate information from Tasks 1 and 2 into the Tribe's Five-Year Environmental Protection Plan.	Information summarized in the quarterly reports	Dec 2005	Environmental Coordinator	Personnel = \$35,360 x 2% + \$149 (fringe) = \$856 TASK 4 TOTAL = \$856
Task 5. Develop and submit at least two applications for funding solid and hazardous waste priorities.	Information summarized in the quarterly reports. Copy of applications sent to USEPA Project Officer	Quarterly  April 2006	Environmental Coordinator, Environmental Technician	Personnel = \$35,360 x 4% + \$297 (fringe) = \$1,711 \$31,200 x 2% + \$131 (fringe) = \$755 TASK 5 TOTAL = \$2,466

**TABLE 1. DETAILS OF SAMPLE WORK PLAN COMPONENTS (continued)**  
**Native Village of Raven**  
**FY 2006 Indian General Assistance Program**  
**Grant Period from October 1, 2005 to September 30, 2005**

Component / Task	Output / Deliverable	Due Date	Personnel	Costs
<b>COMPONENT 6: ASSESS AND DOCUMENT ENVIRONMENTAL CONDITIONS IN THE TRADITIONAL USE AREAS OF THE VILLAGE.</b>				<b>TOTAL COMPONENT 6 COST = \$19,854</b>
Task 1. Interview local elders to gather knowledge of past environmental problems.	Information summarized in the quarterly reports	March 2006	Environmental Coordinator, Environmental Technician	Personnel = \$35,360 x 5% + \$371 (fringe) = \$2,139 \$31,200 x 3% + \$197 (fringe) = \$1,133 TASK 1 TOTAL = \$3,272
Task 2. Visit and photograph areas of environmental concern in the Tribe's traditional resource areas, including the traditional camp sites, former landfill, military sites, and mining sites.	Information summarized in the quarterly reports	May 2006	Environmental Coordinator, Environmental Technician	Personnel = \$35,360 x 9% + \$668 (fringe) = \$3,850 \$31,200 x 4% + \$262 (fringe) = \$1,510 Equipment = \$7,400 Supplies = \$500 TASK 2 TOTAL = \$13,260
Task 3. Compile information for use in the Five-Year Environmental Protection Plan and in the development of an educational brochure for Village residents.	Information summarized in the quarterly reports Summary of the information gathered will be presented to the Tribal Council Copy of summary and educational brochure sent to USEPA Project Officer	Quarterly  July 2006  July 2006	Environmental Coordinator, Environmental Technician	Personnel = \$35,360 x 6% + \$445 (fringe) = \$2,567 \$31,200 x 2% + \$131 (fringe) = \$755 TASK 3 TOTAL = \$3,322

**TOTAL COST = \$110,000**



**TABLE 2. BREAKDOWN OF THE TOTAL COST BY BUDGET CATEGORY**

<b>BUDGET CATEGORIES INFORMATION (FROM SF424A, SECTION B TOTALS)</b> Enter Total Program Costs, i.e., Federal and Non-Federal Funds Combined (Attach Separate Sheet(s) if necessary)				
Object Class Categories				
a. Personnel: (Program Staffing - include and indicate vacant positions)	Number in Position Class	Annual Salary Rate	Work Years	Personnel Costs
Position Title				
(1)	(2)	(3)	(4)	(5)
Environmental Coordinator	1	\$35,360	100%	\$ 35,360.00
Environmental Technician	1	\$31,200	50%	\$ 15,600.00
PERSONNEL CATEGORY TOTALS				\$ 50,960.00
b. FRINGE BENEFITS: TOTAL (at 21%)				\$ 10,702.00
c. TRAVEL: TOTAL (Itemize below) <b>GAP Conferences in Anchorage</b> (Component 1): Environmental Coordinator, Environmental Technician, Tribal Administrator (see Budget Note 1) Airfare: \$683 RT Raven/Juneau/Anchorage x 3 people x 2 conferences = \$4,098 Per Diem: \$75/day x 6 days/conference x 3 people x 2 conferences = \$2,700 Lodging: \$85/night x 5 nights/conference x 3 people x 2 conferences = \$2,550 Car Rental: \$120/week x 2 conferences = \$240 TOTAL = \$9,588  <b>Region 10 Tribal Leaders Summit in Seattle</b> (Component 1): Environmental Coordinator, Tribal Council Member (see Budget Note 1) Airfare: \$950 RT Raven/Juneau/Seattle x 2 people x 1 summit = \$1,900 Per Diem: \$75/day x 4 days/summit x 2 people x 1 summit = \$600 Lodging: \$85/night x 3 nights/summit x 2 people x 1 summit = \$510 Car Rental: \$40/day x 4 days x 1 summit = \$160 TOTAL = \$3,170  <b>Black River Watershed Council Meetings at member villages; one meeting hosted by Raven</b> (Component 4): Environmental Coordinator, Environmental Technician Airfare: \$160 RT Raven/Host Village x 2 people x 3 meetings = \$960 Per Diem: \$80/night x 2 nights/meeting x 2 people x 3 meetings = \$960 TOTAL = \$1,920				\$ 14,678.00

**BUDGET CATEGORIES INFORMATION (FROM SF424A, SECTION B TOTALS)**

Enter Total Program Costs, i.e., Federal and Non-Federal Funds Combined

(Attach Separate Sheet(s) if necessary)

## Object Class Categories

## d. Equipment:

(1) List each item costing \$5,000 or more to be purchased for this project;

4-wheel ATV, including freight cost (Component 6) (See Budget Note 2)

\$ 7,400.00

SUB-TOTAL \$ 7,400.00

(2) List items costing less than \$5,000. You may list the items by groups, as appropriate.

Laptop with accessories (Component 1)

\$ 3,000.00

SUB-TOTAL \$ 3,000.00

COMBINED EQUIPMENT TOTAL \$ 10,400.00

## e. Supplies: List by groups, as appropriate.

Includes shipping costs. Supplies are for use by the Environmental Program unless otherwise noted.

Office supplies: \$100/month x 12 months (Component 1)

\$ 1,200.00

Furniture (desk, computer table, chairs, file cabinet, table) (Component 1)

\$ 1,840.00

Satellite dish (estimated \$4,000 shared between 4 programs) (Component 1)

\$ 1,000.00

Surge protector (Component 1)

\$ 40.00

Fuel, supplies, and replacement parts for 4-wheel ATV (Component 6)

\$ 500.00

SUPPLIES TOTAL \$ 4,580.00



**BUDGET CATEGORIES INFORMATION (FROM SF424A, SECTION B TOTALS)**

Enter Total Program Costs, i.e., Federal and Non-Federal Funds Combined

(Attach Separate Sheet(s) if necessary)

## Object Class Categories

f.	CONTRACTUAL: List each planned contract separately, type of services to be procured, proposed procurement method (i.e. small purchase, formal advertising, competitive negotiations or non-competitive negotiations) and the estimated cost. Also, please indicate if the proposed contract performance period will go beyond the budget period of assistance for which this application is submitted.	
	Consultant to help evaluate administrative policies and procedures and management systems (Component 2) – Contract will follow OMB guidelines for procurement.	\$ 2,200.00
	Consultant to help develop a Five-Year Environmental Protection Plan (Component 3) – Contract will follow OMB guidelines for procurement.	\$ 9,000.00
	COMBINED CONTRACTUAL TOTAL	\$ 11,200.00
g.	CONSTRUCTION	\$ 0.00
h.	OTHER: Explain by major categories any items not included in above standard budget categories. <u>Caution:</u> Do not include or proposed as a direct project cost, any cost that is indirect in nature (see OMB Circular A-87) or is included in the indirect cost pool on which the indirect cost rate (item j) is based.	
	Registration fees for GAP Conferences: \$100/registrant x 3 registrants x 2 conferences	\$ 600.00
	Office lease, including utilities: \$400/month x 12 months (see Budget Note 3)	\$ 4,800.00
	Dedicated phone line: \$50/month x 12 months	\$ 600.00
	Long-distance phone service (see Budget Note 4)	\$ 1,000.00
	Internet fees: \$40/month x 12 months (see Budget Note 5)	\$ 480.00
	OTHER TOTAL	\$ 7,480.00
i.	TOTAL DIRECT CHARGES: (Sum of Items a. through h.)	\$ 110,000.00
j.	INDIRECT COSTS: (Attach a copy of your latest indirect cost agreement)	\$ 0.00
k.	TOTAL PROPOSED PROGRAM COSTS (Sum of Items i. and j.) SHARE: FEDERAL 100% NON-FEDERAL 0%	\$ 110,000.00

## **BUDGET NOTES**

1. A Tribal Council member participates so as to affect future policy decisions. Tribal Administrator attends workshops that provide information on financial and administrative requirements. Environmental staff attends for program and administration information.
2. Equipment justification: The 4-wheel ATV will enable the Environmental Coordinator and Environmental Technician to access remote areas of the Tribe's traditional use area where there is no road. This is necessary if environmental staff is to assess environmental conditions of the Black River watershed (Component 6). The Tribe does not have a vehicle that can be used by the Environmental Program. If a vehicle is leased or rented to do this work, it would cost approximately \$500 per month or \$6,000 per year over several years. Since this will be part of the on-going activities of the Environmental Program, it is more cost effective to buy our own vehicle, which has a useful life of 10 years. Upon project completion, the 4-wheel ATV will continue to be used by the Environmental Program. If the Environmental Program no longer needs the vehicle, another federally-funded program within the Tribe will use the vehicle. Vehicle use logs, maintenance records, use policies, and inventory will be kept for the 4-wheel ATV.
3. The Tribe pays \$1,600 per month lease for the tribal office building. The Environmental Program is one of four tribal programs that are housed in the building. Therefore, the Environmental Program is charged 25% of the month lease payment (which includes utilities) for the space they occupy.
4. Environmental Program staff has to purchase calling cards for long-distance services. The annual budget is based on what it cost the previous year to purchase enough calling cards to cover the long-distance calls made over a 12-month period.
5. The Tribe estimates it will pay \$160 per month in Internet fees associated with the dish service. The Environmental Program is one of four programs that will share the service. Therefore, the Environmental Program is charged 25% of the monthly fee.





Bessie Lee/R9/USEPA/US  
04/18/2005 09:20 AM

To Thomas Smith <tsmith@arizonaengineering.com>  
cc ataylor@hopi.nsn.us, bob.marley@ttemi.com, Corine Li/R9/USEPA/US@EPA, dburke@arizonaengineering.com, Elizabeth Stahl/R9/USEPA/US@EPA,  
bcc  
Subject RE: EPA's Options for the DWTSA Grant for the Villages of Moenkopi (Grant No. FS-98969501)

Tom,

To answer your question about whether another extension of the grant beyond one year is possible. Yes, this is a possibility. However, even though the schedule in the revised work plan may show that the completion of the project will not occur before November 30, 2006, the extension will be made for one year only. EPA will again review how the project progresses from December 1, 2005 through November 30, 2006 before another extension can be granted.

I should add that the project schedule may also want to consider time to find additional funding that may be needed, depending on the option agreed upon by both villages.

I will fax a copy of this e-mail to both Upper Moenkopi and Lower Moenkopi.

~~~~~  
Bessie Lee  
~~~~~

U.S. Environmental Protection Agency, Region 9  
Drinking Water Office (WTR-6)  
75 Hawthorne Street  
San Francisco, California 94105-3901  
Phone: (415) 972-3776  
Fax: (415) 947-3549  
E-mail: lee.bessie@epa.gov  
Thomas Smith <tsmith@arizonaengineering.com>



Thomas Smith  
<tsmith@arizonaengineering.com>  
04/14/2005 11:56 AM

To Bessie Lee/R9/USEPA/US@EPA, ataylor@hopi.nsn.us, nnutongla@hopi.nsn.us, jroberson@hopitribe.org, jashrob3@epamail.epa.gov, **Ex. 6 - Personal Privacy**, ntalayumptewa@hopi.nsn.us, robert.lorenz@ihs.gov, erika.schoen@ihs.gov, bob.marley@ttemi.com, dburke@arizonaengineering.com  
cc Sara Jacobs/R9/USEPA/US@EPA, john.hamilton@ihs.gov, Corine Li/R9/USEPA/US@EPA, Elizabeth Stahl/R9/USEPA/US@EPA  
Subject RE: EPA's Options for the DWTSA Grant for the Villages of Moenkopi (Grant No. FS-98969501)

Bessie:

Thank you for this summary. I would like to add that significant progress in well drilling and preparation of construction plans needs to occur PRIOR to October 1, 2005. If this does not occur, the project will not be completed by Nov. 30, 2006. I will review the original project schedule to see what the duration for plans and construction was anticipated to be. Is another extension beyond 1 year possible?





Tom

Thomas Smith, E.I.T.  
Arizona Engineering Company  
419 N. San Francisco St.  
Flagstaff, Arizona 86001  
<http://www.arizonaengineering.com>

-----Original Message-----

From: Lee.Bessie@epamail.epa.gov [mailto:Lee.Bessie@epamail.epa.gov]  
Sent: Thursday, April 14, 2005 9:46 AM  
To: ataylor@hopi.nsn.us; nnutongla@hopi.nsn.us; jroberson@hopitribe.org;  
jashrob3@epamail.epa.gov; [REDACTED] Ex. 6 - Personal Privacy ;  
ntalayumptewa@hopi.nsn.us; robert.lorenz@ihs.gov; erika.schoen@ihs.gov;  
bob.marley@ttemi.com; tsmith@arizonaengineering.com;  
dburke@arizonaengineering.com  
Cc: Jacobs.Sara@epamail.epa.gov; john.hamilton@ihs.gov;  
Li.Corine@epamail.epa.gov; Stahl.Elizabeth@epamail.epa.gov  
Subject: EPA's Options for the DWTS Grant for the Villages of Moenkopi  
(Grant No. FS-98969501)

EPA Grant No. FS-98969501  
Grant Period: October 1, 2000 to November 30, 2005  
Grant Amount: \$1,259,000  
Grant Recipient: Hopi Tribe

On April 12, 2005, the EPA, Region 9, project officers that work with tribal water systems and that manage the DWTS grants discussed the options for the above-listed grant that was awarded to the Hopi Tribe in 2000 for a water improvement project for the Villages of Moenkopi. There are two options for the grant:

1. Extend the grant before it expires on November 30, 2005.
2. Begin close-out procedures when the grant expires on November 30, 2005 and deobligate the remaining funds.

#### EXTEND THE GRANT

If, by October 1, 2005, the project is moving forward and there is an EPA-approved revised work plan in place, the grant will be extended for one year. October was chosen as the decision date because EPA and the Hopi Tribe have to complete the necessary paperwork to extend the grant before the grant expires on November 30, 2005. The revised work plan should include a list of tasks that reflect the project scope, a list of deliverables and associated submittal dates for each task, and a corresponding budget by task and object class category.

#### CLOSE-OUT THE GRANT AND DEOBLIGATE THE REMAINING FUNDS

If the project is not moving forward, close-out procedures will begin when the grant expires on November 30, 2005 and the remaining funds in the grant will be deobligated. If grant money is spent on tasks not in the EPA-approved work plan, these expenditures may be determined to be unallowable and the Hopi Tribe will not be paid for these activities.

If either or both villages want to pursue the water improvement project again, the Hopi Tribe will need to reapply for a DWTS grant and be re-ranked. However, based on the present technical, managerial, and financial capacities of each village's water system, neither village





would qualify for the DWTSA grant.

I will fax copies of this e-mail to Upper Moenkopi and Lower Moencopi.

~~~~~

Bessie Lee

~~~~~

U.S. Environmental Protection Agency, Region 9  
Drinking Water Office (WTR-6)  
75 Hawthorne Street  
San Francisco, California 94105-3901  
Phone: (415) 972-3776  
Fax: (415) 947-3549  
E-mail: lee.bessie@epa.gov







Bessie Lee/R9/USEPA/US

04/14/2005 09:46 AM

To ataylor@hopi.nsn.us, nnutongla@hopi.nsn.us,  
jroberson@hopitribe.org, Ex. 6 - Personal Privacy,  
Ex. 6 - Personal Privacy ntalayumtewa@hopi.nsn.us,  
cc Sara Jacobs/R9/USEPA/US@EPA, john.hamilton@ihs.gov,  
Corine Li/R9/USEPA/US@EPA, Elizabeth  
Stahl/R9/USEPA/US@EPA

bcc

Subject EPA's Options for the DWTSA Grant for the Villages of  
Moenkopi (Grant No. FS-98969501)

EPA Grant No. FS-98969501

Grant Period: October 1, 2000 to November 30, 2005

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I will fax copies of this e-mail to Upper Moenkopi and Lower Moenkopi.

~~~~~  
Bessie Lee  
~~~~~

U.S. Environmental Protection Agency, Region 9  
Drinking Water Office (WTR-6)  
75 Hawthorne Street  
San Francisco, California 94105-3901  
Phone: (415) 972-3776  
Fax: (415) 947-3549  
E-mail: lee.bessie@epa.gov





 Bessie Lee/R9/USEPA/US

02/22/2005 03:15 PM

To Elizabeth Stahl/R9/USEPA/US@EPA

cc

bcc

Subject Approval of Hopi Requests for Reimbursement

Liz,

The following Hopi grants are approved for reimbursement for the requested period December 1, 2004 through December 31, 2004:

Grant No. FS-98969401-0	Shungopavi Infrastructure Grant	\$3,811.65
Grant No. FS-98969501-0	Moenkopi Infrastructure Grant	\$18,148.97

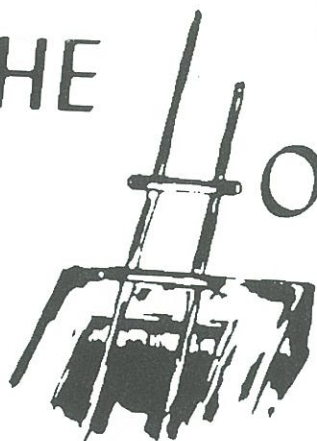
~~~~~  
Bessie Lee

~~~~~  
U.S. Environmental Protection Agency, Region 9  
Drinking Water Office (WTR-6)  
75 Hawthorne Street  
San Francisco, California 94105-3901  
Phone: (415) 972-3776  
Fax: (415) 947-3549  
E-mail: lee.bessie@epa.gov





# THE OPI TRIBE



October 25, 2004

Wayne Taylor, Jr.  
CHAIRMAN

Caleb H. Johnson  
VICE-CHAIRMAN

Ms. Elizabeth Stahl, Grants Specialist  
U.S. Environmental Protection Agency  
Grants Management Section, PMD-7  
75 Hawthorne Street  
San Francisco, CA 94105

Dear Ms. Stahl:

Enclosed are the required reports for the Drinking Water Infrastructure Tribal Set Aside Program  
- Moenkopi, No. FS-98969501-0.

1. Annual SF 269A Financial Status Report  
Period covered: October 01, 2003 - September 30, 2004
2. MBE/WBE EPA Form 5700-52A  
Period covered: October 01, 2003 - September 30, 2004

Please feel free to contact Richard Kagenveama, C/G Accountant at (928) 734-3314 if you have any questions regarding the above mentioned reports.

Sincerely,

  
Winifred Secakuku-Serawop, Director  
Office of Financial Management

Enclosures  
Xc: Program Files

RECEIVED

NOV 01 2004

GMO. PMD-7





**BASELINE MONITORING REVIEW DOCUMENTATION  
FOR  
GRANTS MANAGEMENT SPECIALISTS**

REVIEWER: <u>E. STAHL</u>	DATE(S): <u>5/21/04</u>
RECIPIENT NAME: <u>HOP1 TRIBE</u>	ASSISTANCE NO: <u>FS-98969501-3</u>
CURRENT GRANT PERIOD: <u>10/1/00 - 11/30/05</u>	

**TERMS AND CONDITIONS**

List administrative terms and conditions and any administrative "Special Award Conditions" that require action. Note the compliance status for each (e.g., note if requirement satisfied, communication with the Project Officer and/or recipient):

Condition #	Title/Description	Due Date (if applicable)	Compliance Status, Comments, and/or Actions
#19	support w/ each request on going		

**REPORTING**

Document that the recipient submits reports in accordance with terms and conditions of the award and regulations:

Report	Due Date(s) (Select One)	Date(s) Received	Report Complete/Correct (Y or N)
Interim FSR	Annually OR Quarterly OR N/A <i>overdue 5</i>	<i>9/30/02 in 6/03/03 6/24/04</i>	
Final FSR (Note below if extension approved and revised Due Date)	Within 90 Days of Expiration	<i>N/A</i>	
MBE/WBE - Form 5700-52A	Quarterly OR Annually (Oct 30)	<i>5/24/04</i>	<i>no</i>
Single Audit Reports (check web site, and if no report contact grantee to determine compliance status)	<i>to 12/31/02</i>	<i>3/25/04</i>	<i>in clearinghouse</i>
Progress/Technical Reports (Contact PO)	<i>on target. gna</i>	<i>4/30/04.</i>	

Is follow-up required? ☒ Y ☐ N Notes: Overdue MBE/WBE + FSRs

## FINANCIAL REVIEW

Note: Contact the Project Officer to obtain further insight into unusual payment patterns.

- Does the amount of funds drawn seem consistent with the project progress and/or time remaining? Y ☒ N
  - If no, explain below what follow-up has been initiated.
- Have any problems been detected that require action (e.g., unallowable costs)? Y ☒ N
  - If yes, explain below.
- Is follow-up necessary? Y ☒ N
  - If yes, explain below what follow-up has been initiated.

Comments and follow-up: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## COMMUNICATION

- Date of last communication with the Project Officer: 5/21/04,
- Specify form of communication (e.g., phone call, email, etc.) and date: meeting 5/21/04
- Specify location of documentation of last communication: \_\_\_\_\_
  
- Date of last communication with the Recipient: 5/20/04
- Specify form of communication (e.g., phone call, email, etc.) and date: 5/20/04.
- Specify location of documentation of last communication: grant file.

## GS ADVANCED MONITORING RECOMMENDATION:

- Based on this review, has advanced monitoring been recommended? Y ☐ N ☐
- Specify Recommended Action:      Desk Review      On-Site Evaluation

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



# THE MOPI TRIBE



May 14, 2004

**Wayne Taylor, Jr.**  
CHAIRMAN

**Caleb H. Johnson**  
VICE-CHAIRMAN

Ms. Elizabeth Stahl, Grants Specialist  
U.S. Environmental Protection Agency  
Grants Management Section, PMD-7  
75 Hawthorne Street  
San Francisco, CA 94105

Dear Ms. Stahl:

Enclosed are the required reports for the Drinking Water Infrastructure Tribal Set Aside Program – Moenkopi, No. FS-98969501-0.

1. SF 270 Request for Reimbursement #04  
Period covered: January 01 – March 31, 2004
2. SF 270 Request for Reimbursement #03  
Period covered: June 01, 2001 – December 31, 2003
3. SF 269A Financial Status Report  
Period covered: October 01, 2002 – September 30, 2003
4. MBE/WBE EPA Form 5700-52A  
Period covered: October 01, 2002 – September 30, 2003

Please feel free to contact Richard Kagenveama, C/G Accountant at (928) 734-3314 if you have any questions regarding the above mentioned reports.

Sincerely,

Winifred Secakuku-Serawop, Director  
Office of Financial Management

Enclosures  
Xc: Program Files

RECEIVED

MAY 24 2004

GMO, PMD-7







Carla Honyouti  
<CHonyouti@hopi.nsn.us>

To: Elizabeth Stahl/R9/USEPA/US@EPA  
cc:  
Subject: RE: Grant reports due 12/31/03

12/24/2003 10:40 AM

Thanks for the reminder and you have a great holiday too!!!

-----Original Message-----

From: Stahl.Elizabeth@epamail.epa.gov  
[mailto:Stahl.Elizabeth@epamail.epa.gov]  
Sent: Wednesday, December 24, 2003 11:32 AM  
To: Carla Honyouti  
Cc: Nat Nutongla; Gayle Honanie; jma@dana.ucc.nau.edu  
Subject: Grant reports due 12/31/03

Carla:

Just a reminder: All financial status reports (standard form 269A) are due to EPA on 12/31/03 for almost all the grants (except those that just started 10/1/03). Please note that some of the expired grants still are missing the cost share and final payment requests, and the final financial reports are due 12.31.03.

If the tribe is unable to send the reports to EPA by that date, please send me via e-mail an extension request for each grant (with a grant number included), reason you need the extension, and date by which the report will be submitted.

Thanks. And have a good holiday!

Elizabeth Stahl  
EPA Grants Management Office  
415-972-3662







## Results from Query of Single Audit Database



The following is a key for the status field

P = The FAC is processing the audit.

W = The FAC is waiting for the auditee to send additional information. (see below)

● W-1 = Missing Form.

● W-2 = Missing Components/Form Errors.

● W-3 = Missing Components.

● W-4 = Form Errors.

● W-5 = Form Errors - Audit package forwarded to Federal Agencies for follow-up.

● W-6 = Pending Cognizant Agency Assessment.

C = The audit is complete.

\*Note: Date Received is date of most recent receipt.

**Your search has produced 6 records**

EIN	Auditee Name	Fiscal Year End Date	Status	Street 1	Street 2	City	State	Zip Code	*Date Received
860134082	THE HOPI TRIBE	11/30/97	C	P. O. BOX 123		KYKOTSMOVI	AZ	86039	7/26/99
860134082	THE HOPI TRIBE	11/30/98	C	P. O. BOX 123		KYKOTSMOVI	AZ	86039	12/13/99
860134082	THE HOPI TRIBE	11/30/99	W-3	P. O. BOX 123		KYKOTSMOVI	AZ	86039	9/6/00
860134082	THE HOPI TRIBE	12/31/00	C	PO BOX 123		KYKOTSMOVI	AZ	86039	5/23/03
860134082	THE HOPI TRIBE	12/31/01	C	P.O. BOX 123		KYKOTSMOVI	AZ	86039	10/15/03
860134082	THE HOPI TRIBE	12/31/02	W-1	P.O. BOX 123		KYKOTSMOVI	AZ	86039	3/25/04

[Return to Status Search](#)







UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
REGION IX  
75 Hawthorne Street  
San Francisco, CA 94105

URGENT

on Umberto <b>FAX</b>		
TO: <b>NAT</b> <b>NKTONGLA</b>	Organization: <b>Hopi Tribe</b>	FAX: <b>520-734-9339</b> Phone:
FROM: Elizabeth Stahl EPA	Grants Management Office PMD-7 75 Hawthorne Street San Francisco, CA 94105	FAX: 415-744-1678 Phone: 415-744-1689
DATE: <b>8/28/01</b>	RE: <b>MOENKOPI</b>	<b>- Set Asides</b> <b>Grant Conditions</b>
PAGES including cover: <b>6</b>		

NOTE:

Attached are draft conditions (similar to Shumvoga) for your review - which we plan to add to the amendment documents - please let us know as soon as possible if you have questions — added #42 to both as of today pm.

These grants expire 8/31/01!  
And we need to get them signed as soon as possible  
- Umberto is faxing ↓

pre-award estimated costs -  
amounts - Sept 1-15, 2001 (approx.).

Thanks!



THE  
HOPI TRIBEWayne Taylor, Jr.  
CHAIRMANPhillip R. Quochoytewa, Sr.  
VICE-CHAIRMANThe Hopi Tribe  
Water Resources Program  
P.O. Box 123  
Kykotsmovi, AZ. 86039Business: (520) 734-3617 or 734-3612  
Fax: (520) 734-9339Date: 8/28/01From: UburtaTransmitting 18 Pages (Including cover sheet)

To the attention of:

Name: Elizabeth StahlCompany: EPAFax Number: 415-744-1078

Message:

Made changes to what we talked about.  
Also attach is the work plan which we  
had made changes to. Any questions  
please call. Thank you

Should there be a problem with this transmission, please call above numbers.

Shungo paw





# THE HOPI TRIBE



Wayne Taylor, Jr.  
CHAIRMAN

Phillip R. Quochytewa, Sr.  
VICE-CHAIRMAN

The Hopi Tribe  
Water Resources Program  
P.O. Box 123  
Kykotsmovi, AZ. 86039

Business: (520) 734-3617 or 734-3612  
Fax: (520) 734-9339

Date: 8/28/01

From: Wkurta M

Transmitting 20 Pages (Including cover sheet)

To the attention of:

Name: Elizabeth Skel

Company: EPA

Fax Number: 915 744-1678

Message:

Changes made to Moenkopi Village  
Federal grant application and to the work  
plan. Should there be any changes, please  
call. Thank you

Should there be a problem with this transmission, please call above numbers.







Uberta Mowa  
<UMowa@hopi.nsn.us  
>

To: Elizabeth Stahl/R9/USEPA/US@EPA  
cc: Nat Nutongla <NNutongla@hopi.nsn.us>  
Subject: Funds spend in September from Post-NEPA funds

08/28/2001 02:42 PM

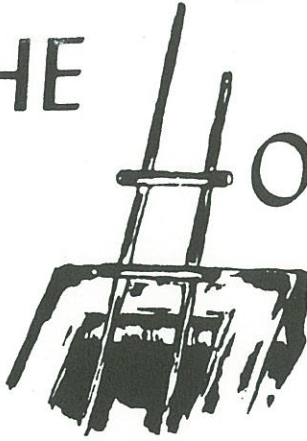
I am responding to your request regarding use of funds from the Safe Drinking Water Set-Aside Projects - Shungopavi & Upper/Lower Moenkopi. The Water Resources program does not anticipate any use of funds during September and October 2001. This will allow sufficient time for the grant conditions included in the two project grant awards pertaining to a revised procurement policy and records retention procedures, to be resolved. We also do not anticipate using any Travel line item until the projects are fully under way.

I hope this answers any questions regarding use of the Post -NEPA budget.

If you have any question, contact me at (928) 734-3617.



# THE



# OPI TRIBE

March 9, 2001

**Wayne Taylor, Jr.**

CHAIRMAN

**Phillip R. Quochoytewa, Sr.**

VICE-CHAIRMAN

Mr. Kevin Ryan  
US EPA – WTR-6  
75 Hawthorne Street  
San Francisco, CA 94105

Dear Mr. Ryan:

Enclosed are the extension amendments for the following programs:

- Grant No. FS-98969501-0
- Grant No. FS-98969401-0

The amendments have been signed by Vice-Chairman Quochoytewa.

Sincerely,

John Carpenter, Director  
Office of Financial Management

Enclosures

RECEIVED  
MAR 19 2001  
GMO, PMD-7





Elizabeth Stahl

12/19/2000 09:38 AM

To: Kevin Ryan/R9/USEPA/US@EPA

cc:

Subject: Expiring Grants

This is your notice that the following two grants are expiring on Feb. 28, 2001. **If you need to extend them, I need your paperwork (see updated Grants Database icon) by January 31.**  
**(Maybe Tribe needs to revise application budget/workplan items).**

**1) FS-98969401-0**

**Hopi Tribe - Shungopavi - Drinking Water Set-Aside**

**\$42,000 total awarded**

**As of today: \$42,000 balance**

**2) FS-98969501-0**

**Hopi Tribe - Moenkopi - Drinking Water Set-Aside**

**\$42,000 total awarded**

**As of today: \$42,000 balance**





THE



HOPI TRIBE

Wayne Taylor, Jr.  
CHAIRMAN

Phillip R. Quochoytewa, Sr.  
VICE-CHAIRMAN

September 22, 2000

Mr. Kevin Ryan, Project Officer  
U.S. Environmental Protection Agency  
Region 9  
75 Hawthorne Street  
San Francisco, CA 94105

Dear Mr. Ryan,

The Hopi Tribe's Water Resources Program is pleased to submit the enclosed budget in the amount of \$42,000 to support pre-construction activities required by the Safe Drinking Water Act, Set-Aside program. The budget describes the required pre-National Environmental Policy Act (NEPA) activities and preliminary, conceptual planning and design of the Moenkopi Village(s) water supply system.

The budget also supports all necessary activities that relate to the 1992 amendments to Section 106 of the National Historic Preservation Act. The Water Resources Program will complete the required NEPA and State Historic Preservation Office (SHPO) review activities by December 31, 2000, prior to the award of the construction budget.

Upon successful and demonstrated completion of NEPA and SHPO activities, the budget will be amended to include the full construction costs of the project.

Thank you for your assistance and cooperation in facilitating the award of pre-construction costs that provide cultural and environmental compliance assurances, prior to obligation of Federal funds for construction.



If you have any questions, contact me at (520) 734-9307.

Sincerely,



Nat A. Nutongla, Director  
Water Resources Program

xc: Lower Moenkopi Village  
Village of Upper Moenkopi  
DNR Manager  
Hopi Cultural Preservation Office  
Hopi Office of Real Estate Services







UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
REGION IX  
75 Hawthorne Street  
San Francisco, CA 94105

URGENT

FAX	ORGANIZATION	
TO: NAT NUTONGLA	THE MOPI TRIBE	FAX: 520-734-9339 Phone:
FROM: Elizabeth Stahl EPA	Grants Management Office PMD-7 75 Hawthorne Street San Francisco, CA 94105	FAX: 415-744-1678 Phone: 415-744-1689
DATE: 9/25/00	RE: Conditions — Tribal Set Asides	
Number of Pages Including Cover: 5		

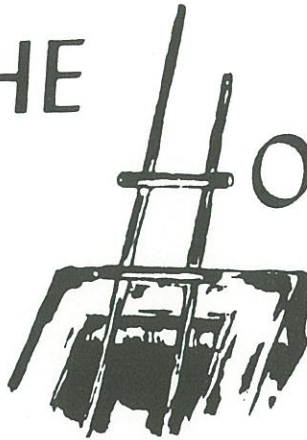
NOTE: Here are The terms & conditions  
(similar) that we are including in  
both the Mopikopi & Shungopavi grants.

Please fax workplan that  
was negotiated between Kevin  
Ryan and Ron Morgan  
last week!





# THE



# HOPI TRIBE

June 14, 2000

**Wayne Taylor, Jr.**  
CHAIRMAN

**Phillip R. Quochytewa, Sr.**  
VICE-CHAIRMAN

Malinda Taplin  
Grants Management Office (PMD-7)  
Policy and Management Division  
U.S. Environmental Protection Agency  
75 Hawthorne Street  
San Francisco, Ca 94105

Dear Ms. Taplin,

The Hopi Tribe is please to submit the attached application for funding under the Safe Drinking Water Act (SDWA) for the Moenkopi Village. The budget that is submitted for funding consideration represents a reasonable cost estimate, in support of required work activities.

On behalf of the village of Moenkopi residents, I would like to extend my sincere appreciation to the US EPA, Region 9 for selecting the Hopi projects for funding. The delivery of safe, dependable water supplies to all residents of the Hopi Reservation is one of my administration's key priorities. By this project, the goals and objective of public water system compliance with the Safe Drinking Water Act can be achieved for the village of Moenkopi.

Your review and approval of the application is appreciated.

If you have any question, contact Nat A. Nutongla, Director of the Tribe's Water Resources Program.

Sincerely,

Wayne Taylor, Jr., Chairman  
The Hopi Tribe

cc: Ben Machol, Senior Project Engineer  
Elizabeth Stahl (PMD-7)

RECEIVED

JUN 21 2000

GMO, PMD-7

# THE Hopi Tribe



Office of the  
Tribal Council  
P.O. Box 100  
Tucson, Arizona 85701

June 14, 1980

Mr. [Name]  
[Address]  
[City, State, Zip]

Dear Mr. [Name]:

The Hopi Tribe is pleased to inform you that the Hopi Tribe has been selected to participate in the [Program Name] program. This program is designed to provide [Description of Program]

The purpose of this program is to provide [Description of Purpose]. The Hopi Tribe is currently [Status of Program] and we are seeking [Type of Assistance]

Your interest and support of the Hopi Tribe is appreciated.

If you have any questions or need further information, please contact [Contact Information]

*[Signature]*  
[Name]  
[Title]

RECEIVED

JUN 24 1980

TRIBAL COUNCIL

U.S. DEPARTMENT OF THE INTERIOR  
BUREAU OF INDIAN AFFAIRS



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
REGION 9  
75 Hawthorne Street (WTR-4)  
San Francisco, CA 94105

ES.  
copy

30 May 2000

Nat A. Nutongla, Director  
Water Resources Program  
The Hopi Tribe  
P.O. Box 123  
Kykotsmovi, AZ 86039

The U.S. Environmental Protection Agency, Region 9, is pleased to announce the availability of financial assistance as follows:

Program Title: Drinking Water Tribal Set-Aside Grant Program, Moenkopi Water System Improvements

Statutory Authority: SDWA, amended 8/96, §§ 1401 and 1452

Federal Funds Available: \$1,035,036

Required Non-Federal Match: none

Catalog of Federal Domestic Assistance Number: 66.468

Small Awards Policy: N/A

The original and one copy of your application and final workplan should be submitted to:

Grants Management Office (PMD-7)  
Policy and Management Division  
US EPA Region 9  
75 Hawthorne Street  
San Francisco, CA 94105

Enclosed is a model workplan. I will be working with you to help develop the final workplan (including a budget) that must be approved before grant award. Please be aware that we will still need to evaluate which costs, especially related to the new portions of distribution system, would be eligible for grant award. Also note that the above cost estimate includes rates for design, NEPA, and administrative costs that may be different from those presented in the feasibility study. These estimates can be adjusted as the workplan is developed. If you would like to receive a grant this federal fiscal year (which ends September 2000), we ask that you submit the completed application no later than June 16. If submitted past that date, the grant may be awarded next fiscal year.





As you develop the workplan, please keep in mind that the Tribal Set-Aside Grant Program requires that all water systems requesting project funding are in compliance with the Safe Drinking Water Act (SDWA) and have adequate provisions for long-term operation and maintenance, which is measured in terms of how well an owner of a public water system meets the criteria of technical, managerial, and financial capacity (TMF). Specifically, we are concerned with the following TMF issues:

1) Technical capacity- refers to the technical knowledge of the system personnel and their ability to use that knowledge to adequately operate the system.

EPA is supportive of plans to consolidate the Upper and Lower Moenkopi systems. With consolidation must come agreements about operation and maintenance of the overall system. It will be important to demonstrate that the funded infrastructure will be adequately maintained for the long term.

2) Managerial capacity - includes the ability of the owner to adequately staff the system with qualified personnel, an understanding of the regulatory requirements involved in operating a water system, and the ability to interact well with customers and the regulating authority (EPA).

As with technical capacity, a system must be in place to ensure that the consolidated system is properly managed. Additionally, clarification is needed on the role envisioned for the Indian Health Service as they are identified in items 3 and 5 of the Project Management Checklist to be involved in some construction management and in determining water rates. For any services identified in the workplan that are outside the tribe's immediate control, a detailed description identifying the services and how they are to be accomplished needs to be explained. A letter of support from the IHS or a memorandum of agreement is suggested.

3) Financial capacity - includes the ability of the owner to maintain sufficient revenues to cover operation costs and the effective management of those resources in operating the system.

The consolidated system must have a well-defined revenue stream that can adequately cover the staffing, operations/maintenance costs, and all other costs. In part, this deals with the ability of whoever is going to perform cost accounting, budgeting, and payment dispersals in an organized and timely manner. As we understand it, the villages of Upper and Lower Moenkopi and Hopi Water Resources would be working with the Hopi Office of Financial Management during the project period to perform the tasks necessary to begin and maintain the project's financial and administrative functions. It is imperative that these financial and administrative functions be adhered to in order to allow the development of the project to proceed on schedule, on or under cost, and in a manner that carries out the intent of the workplan. However, after project completion, demonstration of how sufficient resources would be obtained to continue to ensure that the system would stay financially healthy is also required. Ideally, a water system assures fiscal responsibility by providing services at a cost commensurate with the true costs of providing water. This is accomplished by the





application of rate studies, an effective collection policy, and the ability to garner additional resources and services and administer them effectively. More information on these issues is requested and the financial spreadsheet needs to be completed and submitted.

In addition to the above concerns on the TMF capacity, further clarification is needed on some items and costs outlined in the submitted Feasibility Study. These are identified below.

- 1) We recommend that the 10% contingency be reduced to 5%.
- 2) We will need to closely assess the new connections and sanitation facilities described in the feasibility study. Some of the costs associated with these portions may not be eligible under this grant.

Since there have been recent changes to various EPA financial assistance regulations, please remember to obtain a copy of the Code of Federal Regulations (CFR), Title 40, parts 1-49. This CFR includes the Chapter 1, Subchapter B, regulations applicable to your grant and is updated every July 1. Copies of the Code of Federal Regulations are available at your local U.S. Government Bookstore, or call the U.S. Government Printing Office at (202) 512-1800 to order a copy. Available through the internet, you may access specific EPA regulations at <http://www.epa.gov/ogd/> and/or OMB circulars at <http://www.whitehouse.gov/wh/eop/omb/grants/>.

Questions regarding administrative or fiscal matters should be referred to Elizabeth Stahl of the Grants Management Office at (415) 744-1689. Please call me at (415) 744-1977 regarding programmatic questions (e.g. developing the workplan).

Sincerely



Ben Machol  
Senior Project Engineer

cc: Elizabeth Stahl (PMD-7)

Enclosures

